

3523 P 004

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Wilhelm SCHWAEBLE

Examiner

Serial No. 09/503,421

) Group Art Unit 1611

Filed February 14, 2000

For: C1q AND COLLECTIN RECEPTOR

) **ACKNOWLEDGMENT OF**

) **NOTICE TO FILE MISSING PARTS**

COMMISSIONER FOR PATENTS

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Attn: BOX MISSING PARTS/WITH FEE

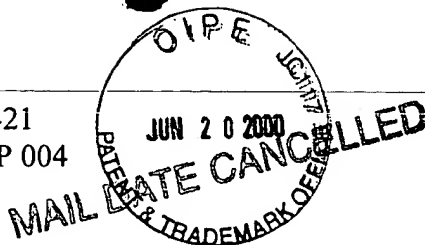
Sir:

In response to the NOTICE TO FILE MISSING PARTS OF
NONPROVISIONAL APPLICATION, Applicant submits the following materials to complete
the filing of the above-identified application:

1. one-page executed Power of Attorney and two-page executed Declaration
for Patent Application;
2. Copy of Patent Office Notice dated April 4, 2000;
3. two-page executed Verified Statement Claiming Small Entity Status -
Nonprofit Organization;
4. Check in the amount of \$410 in payment of filing fee and surcharge for
late filing of missing parts (for small entity);
5. diskette containing sequence listing;
6. 5-page sequence listing in PatentIn Ver. 2.1; and,
7. Check in the amount of \$55 for one-month Extension of Time to file
missing parts.

Serial No. 09/503,421
Our File No. 3523 P 004

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The enclosed listing has been compiled in PatentIn Version 2.1, the latest version of the software, and there have been minor modifications in the listing compared with the older PatentIn version used for the initial British and PCT applications. All sequences are identical to the published sequences, but PatentIn 2.1 requires identification of the source of the nucleic acid or protein sequences. All sequence sources are stated in the application description; thus, no new matter has been added.

Please charge any additional fees, or credit any overpayment, to our Deposit Account No. 23-0280.

Respectfully submitted,

Monique A. Morneau
Reg. No. 37,893

WALLENSTEIN & WAGNER, LTD.
311 South Wacker Drive - 5300
Chicago, IL 60606
(312) 554-3300 :smf

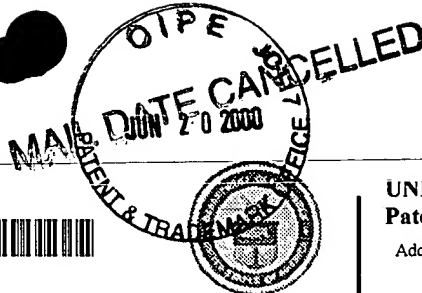
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## FORMALITIES LETTER

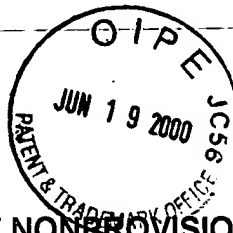


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UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/503,421         | 02/14/2000          | Wilhelm Schwaeble     | 3523-P 004             |

Monique A Morneault Esq  
Wallenstein & Wagner Ltd  
311 South Wacker Drive 5300  
Chicago, IL 60606



Date Mailed: 04/04/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821 - 1.825 for the following reason(s):
  - A copy of the "Sequence Listing" in computer readable form has not been submitted as required under 37 CFR 1.821(e).
  - General information in paper copy is missing.
  - Applicant must provide:
    - A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-1123
- For CRF Submission Help, call (703) 308-4212
- PatentIn Software Program Support
- - For Technical Assistance, call (703) 287-0200
- - To Purchase PatentIn Software, call (703) 306-2600

TO BE SCHEDULED

- The balance due by applicant is \$ 820.

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01 FC:201

345.00 OP

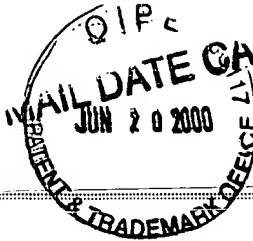
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1 of 2

due: 6-04-00

4/4/00 11:42 AM



A copy of this notice MUST be returned with the reply.

*Bolli Davenport*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

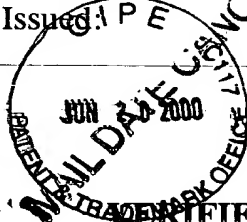
PART 2 - COPY TO BE RETURNED WITH RESPONSE



Applicant or Patentee **Wilhelm Schwaeble**  
 Serial or Patent No.: **PCT/GB98/02430**  
 Filed or Issued: **12 August 1998**



Title: **C1q and Collectin Receptor**



**VERIFIED STATEMENT CLAIMING SMALL ENTITY  
 STATUS  
 (37 CFR 1.9(f) & 1.27(d)) - NONPROFIT ORGANIZATION**

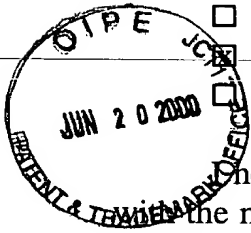
I hereby declare that I am an official empowered to act on behalf of the nonprofit organization-identified-below:

|                                    |                                |
|------------------------------------|--------------------------------|
| NAME OF NONPROFIT ORGANIZATION:    | <b>University of Leicester</b> |
| ADDRESS OF NONPROFIT ORGANIZATION: | <b>University Road</b>         |
|                                    | <b>Leicester</b>               |
|                                    | <b>Leicestershire</b>          |
|                                    | <b>LE1 7RH</b>                 |
|                                    | <b>GB</b>                      |

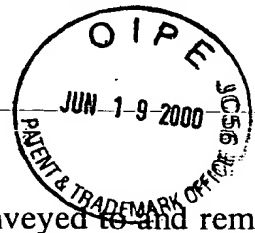
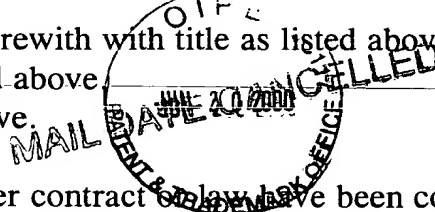
TYPE OF NONPROFIT ORGANIZATION:

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) AND 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
 (NAME OF STATE: \_\_\_\_\_)  
 (CITATION OF STATUTE: \_\_\_\_\_)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
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 (CITATION OF STATUTE: \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:



- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.



I hereby declare the rights under contract to law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☒ no such person, concern or organization exists.  
☐ each such person, concern or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF PERSON SIGNING: 

TITLE IN ORGANIZATION OF PERSON SIGNING: \_\_\_\_\_

ADDRESS OF PERSON SIGNING: \_\_\_\_\_

SIGNATURE:  DATE: 31.01.2000

C. M. MURRAY  
BUSINESS DEVELOPMENT OFFICER  
Date